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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 62004-1330  
First Named Inventor or Application Identifier Phyllis A. Schneck, et al.  
Title Adaptive Data Security Systems and Methods  
Express Mail Label No. EL529721674US

## APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 57]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R&D  
- Reference to Microfiche Appendix  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC d113) [Total Sheets 11]
4. Oath or Declaration [Total Pages]  
a. ☐ Newly Executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR §1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application,  
see 37 CFR §1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of  
the oath or declaration is supplied under Box 4b, is considered as  
being part of the disclosure of the accompanying application and is  
hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identical of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & Documents(s))
9. ☐ 37 CFR §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☐ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ Small Entity Statement(s) ☐ Statement filed in prior application  
Status still proper and desired (PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)  
if foreign priority is claimed
16. ☐ Other:

\*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: /  
Prior application information: Examiner Group / Art Unit:

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

NAME	David R. Risley Thomas, Kayden, Horstemeyer & Risley, L.L.P.		
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Name (Print/Type)	David R. Risley	Registration No. (Attorney/Agent)	39,345
Signature	David R. Risley	Date	2/28/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.

These are the fees effective December 29, 1999

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.**Complete If Known**

Application Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	Phyllis A. Schneck
Examiner Name	Not Yet Assigned
Group / Art Unit	Not Yet Assigned
Attorney Docket No.	62004-1330

TOTAL AMOUNT OF PAYMENT (\$)**483.00****METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge to the following Deposit Account,

Deposit Account Number

20-0778

Deposit Account Name

Thomas, Kayden, Horstemeyer Risley

- ☒
- Charge any additional fee required and requested to credit any overpayment.
- ☐
- Charge all indicated fees and any additional fee required or credit any overpayment.

- 2.
- ☐
- Payment Enclosed:**

☐ Check
 ☐ Money Order
 ☒ Other
**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	\$345
106	310	206	155	Design filing fee	\$
107	480	207	240	Plant filing fee	\$
108	760	208	380	Reissue filing fee	\$
114	150	214	75	Provisional filing fee	\$

SUBTOTAL (1) (\$)**345****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
31	-20** = 11	9.00	99
4	-3** = 1	39.00	39
Multiple Dependent		260.00	

\*\*or number previously paid, if greater; For Reissue, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent Claims in excess of 3
104	260	204	130	Multiple dependent claims in excess of 3
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**138****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension of time within second month	
117	870	217	435	Extension of time within third month	
118	1,360	218	680	Extension of time within fourth month	
128	1,850	228	925	Extension of time within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt.	
581	40	581	40	Recording each patent assignment per property (time number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify)

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

**SUBMITTED BY**

Typed or Printed Name

David R. Risley, Esq.

Signature

Date

2/29/00

Complete (if applicable)

Reg. Number

39,345

Deposit Account User ID

TO ALL WHOM IT MAY CONCERN

Be it known that we, Phyllis A. Schneck, residing at 9608 Persimmon Tree Road, Potomac, Maryland 20854, Karsten Schwan, residing 2378 Norwich Way, Tucker, Georgia 30084, and Dr. Santosh Chokhani, residing at 3410 N. Buchanan Street, Arlington, Virginia 22207, have invented an

**ADAPTIVE DATA SECURITY SYSTEMS AND METHODS**

for which the following is a description and specification.

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**EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as "EXPRESS MAIL," in an envelope with sufficient postage addressed to: **BOX PATENT APPLICATION**, Assistant Commissioner for Patents, Washington, D.C. 20231, on Feb. 28, 00

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Signature:

Dan R. Reing